

Please type a plus sign (+) inside this box ☐

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 109026-0055P1

First Inventor or Application Identifier F. Joseph Pompei

Title PARAMETRIC AUDIO SYSTEM

Express Mail Label No. EL056804349US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 32]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) [Total Sheets 13]
4. Oath or Declaration [Total Pages]
- a. ☐ Newly executed (original copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (Identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. 37 C.F.R. § 3.73(b) Statement (when there is ☒ Power of Attorney an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. *Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other:

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment.

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/116,271

Prior application Information: Examiner

Group/Art Unit:

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name Steven J. Frank

Address Cesari and McKenna
30 Rowes Wharf

City Boston

State

MA

Zip Code

02110

Country U. S. A.

Telephone

(617) 951-2500

Fax

(617) 951-3927

Name (Print/Type)

Steven J. Frank

Registration No. (Attorney/Agent)

33,497

Signature

Date

April 27, 1999

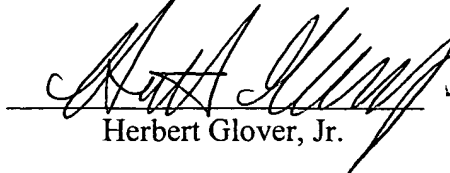
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:)	
F. Joseph Pompei)	
)	Examiner: Not Yet Assigned
Serial No.: Not Yet Assigned)	
)	
Filed: Herewith)	Art Unit: Not Yet Assigned
)	
For: PARAMETRIC AUDIO SYSTEM)	
		Cesari and McKenna, LLP
		30 Rowes Wharf
		Boston, MA 02110
		April 27, 1999

CERTIFICATE OF EXPRESS MAILING

“Express Mail” Mailing-Label Number: EL056804349US

I hereby certify that the following Continuation-in-part Application (32 pages), Formal Drawings (13 pages), Fee Transmittal, Utility Patent Application Transmittal, Assignment, Recordation Form Cover Sheet, Information Disclosure Statement, PTO-1449 Form, copies of cited references and checks in the amounts of \$2104.00 and \$40.00 are being deposited with the United States Postal Service “Express Mail Post Office to Addressee” service pursuant to 37 C.F.R. §1.10 in an envelope addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231, on April 27, 1999.


Herbert Glover, Jr.

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

Complete If Known

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	F. Joseph Pompei
Examiner Name	Not Yet Assigned
Group / Art Unit	Not Yet Assigned
Attorney Docket No.	109026-0055P1

TOTAL AMOUNT OF PAYMENT

(\$)
2,144

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

03-1237

Deposit
Account
Name

Cesari and McKenna, LLP

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. §§1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money ☐ Other Order

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		101	760	201	380	Utility filing fee	760
		106	310	206	155	Design filing fee	
		107	480	207	240	Plant filing fee	
		108	760	208	380	Reissue filing fee	
		114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)							760

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
47	14		27	18	486
			11	78	858
					0

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)
1,344

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	205	65	Fee Surcharge - late filing fee or oath	
		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
		139	130	139	130	Non-English Specification	
		147	2,520	147	2,520	For filing a request for reexamination	
		112	920	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Extension for reply within first month	
		116	380	216	190	Extension for reply within second month	
		117	870	217	435	Extension for reply within third month	
		118	1,360	218	680	Extension for reply within fourth month	
		128	1,850	128	925	Extension for reply within fifth month	
		119	300	219	150	Notice of Appeal	
		120	300	220	150	Filing a brief in support of an appeal	
		121	260	221	130	Request for oral hearing	
		138	1,510	138	1,510	Petition to institute a public use proceeding	
		140	110	240	55	Petition to revive - unavoidable	
		141	1,210	241	605	Petition to revive - unintentional	
		142	1,210	242	605	Utility Issue fee (or reissue)	
		143	430	243	215	Design Issue fee	
		144	580	244	290	Plant Issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Petitions related to provisional applications	
		126	240	126	240	Submission of Information Disclosure Stmt	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	40
		146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
Other (specify) Other fee (specify)							
SUBTOTAL (3) (\$)							40

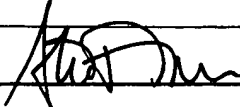
*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or
Printed Name

Steven J. Frank

Signature



Date

April 27, 1999

Complete (if applicable)

Reg. Number

33,497

Deposit Account User ID